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U.S. Securities and Exchange Commission
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Attorneys for Plaintiff
SECURITIES AND EXCHANGE COMMISSION

**IN THE UNITED STATES DISTRICT COURT
IN AND FOR THE SOUTHERN DISTRICT OF NEW YORK**

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

vs.

HOLLINGSWORTH, ROTHWELL, et al.,
Defendant(s).

Case No.: 07 CV 6146 Judge Castel

PROOF OF SERVICE

I, Tony Klein, declare:

I am a Registered Process Server and was retained to serve process in the above-referenced matter on the following person or entity. I was on the dates herein mentioned over the age of eighteen years and not a party to the above-entitled action. I am authorized to serve legal process in the State of California. The following facts are within my personal knowledge and if sworn as a witness I can and will truthfully and competently testify thereto.

I delivered a copy of the **Summons & Complaint** to:

PARTY SERVED:

THEODORE ROXFORD a/k/a/ LAWRENCE NIREN

ADDRESS:

**Gateway Inn
438 O'Farrell Street, #306
San Francisco, CA 94108**

**DATE/
TIME:**

**June 30, 2007
10:52 AM**

**MANNER OF
SERVICE:**

☒ Personal Service
☐ Substituted Service

(White, male, 5'9", 170 lbs., long light brown hair, wire rimmed glasses, 53 years old)

I declare under penalty of perjury under the laws of the United States of America that the forgoing is true and correct and this declaration is executed on June 30, 2007 at San Francisco, California.

CAPITOL PROCESS SERVICES, INC.
1827 - 18th St. NW
Washington, DC 20009
800/243-8773

Tony Klein

PROOF OF SERVICE

AO 440 (Rev. 8/01) Summons in a Civil Action

UNITED STATES DISTRICT COURT

Southern

District of

New York

Securities and Exchange Commission

SUMMONS IN A CIVIL ACTION

V.

Hollingsworth, Rothwell and Theodore Roxford
a/k/a Lawrence Niren

CASE NUMBER:

07 CV 6146

TO: (Name and address of Defendant)

Theodore Roxford a/k/a Lawrence Niren
433 Town Center Apt. 685
Corte Madera, CA 94925

JUDGE CASTEL

YOU ARE HEREBY SUMMONED and required to serve on PLAINTIFF'S ATTORNEY (name and address)

Sarah L Levine
U.S. Securities and Exchange Commission
100 F Street NE
Washington DC 20549-4030

an answer to the complaint which is served on you with this summons, within 20 days after service of this summons on you, exclusive of the day of service. If you fail to do so, judgment by default will be taken against you for the relief demanded in the complaint. Any answer that you serve on the parties to this action must be filed with the Clerk of this Court within a reasonable period of time after service.

J. MICHAEL McMAHON

JUN 29 2007

CLERK

DATE

(By) DEPUTY CLERK

07 CV 6146
UNITED STATES DISTRICT COURT
FOR THE SOUTHERN DISTRICT OF NEW YORK
JUDGE CASTEL

SECURITIES AND EXCHANGE
COMMISSION,

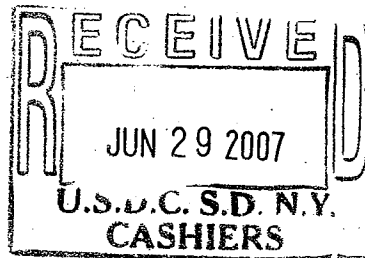
Plaintiff,

v.

THEODORE ROXFORD
a/k/a LAWRENCE DAVID NIREN and
HOLLINGSWORTH, ROTHWELL &
ROXFORD,

Defendants.

No. _____



COMPLAINT

Plaintiff Securities and Exchange Commission ("Commission") alleges:

NATURE OF THE ACTION

1. Between January 2003 and April 2007, Theodore Roxford, also known as Lawrence David Niren, through an entity he formed called Hollingsworth, Rothwell & Roxford ("HRR"), made a series of bogus offers to acquire publicly-traded companies. Roxford and HRR publicized the offers through internet message board postings, internet press releases, and in at least one filing with the Commission.

2. Roxford's intent in making the phony public tender offers was to manipulate the price of the target company's stock by inducing investors to purchase the stock of the target company. Roxford and HRR did not intend to complete the offers, and did not have the financial means to do so.